

The NASDAQ OMX Group Educational Foundation, Inc. 2012 Grant Guidelines

Please use these guidelines in conjunction with the appropriate grant proposal instructions, presented separately.

The mission of The NASDAQ OMX Group Educational Foundation, Inc. is to promote learning about capital formation, financial markets and entrepreneurship through innovative educational programs.

Types of Grants:

- **Academic Study or Research**
Generally awarded to college or university professors.
- **Ph.D. Dissertation Fellowships**
Awarded to colleges or universities on behalf of the candidate.
- **Curriculum Development**
Generally awarded at the university level to develop financial markets curricula.
- **Educational Projects or Programs**
Including classroom and extracurricular programs at the high school, college and university level, teacher training, and professional development for adults. May also include the creation of new educational materials.

*Please note that all proposals must further **financial markets literacy and entrepreneurship** in addition to meeting other criteria. The categories, above, are for guidance only; all proposals compete for a single pool of funds and are subject to selection by the Foundation Board of Directors.*

Target Audiences:

- **High School**
- **College/University**
- **Adults**

Pre-high school audiences may be included in proposals that also serve an older audience; however, programs designed solely or predominantly for a pre-high school audience will not likely be successful.

Eligibility:

The NASDAQ OMX Group Educational Foundation will accept proposals from:

- Educational institutions and organizations designated as **tax-exempt** according to §501(c)(3) of the Internal Revenue Service code.
- In some cases, entities deemed **non-profit** or not-for-profit by an equivalent of §501(c)(3) of the Internal Revenue Service code
- A for-profit business or consultant acting on behalf of a qualified tax-exempt entity. *Please note that if the grant is awarded, a representative of the tax-exempt entity must sign the grant agreement and the award check will be paid to the tax-exempt entity.*
- In some limited cases, highly and specifically qualified **individuals**, only for the purpose of conducting independent academic study or research on financial markets.

Entities specifically *ineligible* for Foundation grants include:

- "For profit" businesses – generally, entities not designated as tax-exempt according to §501(c)(3) of the Internal Revenue Service code.

- Entities and individuals designated as “disqualified persons” as defined in §4946 of the Internal Revenue Service code.
- Former grant recipients who did not fulfill the terms of a previous grant.
- Entities that discriminate on the basis of age, color, disability, marital status, national origin, race, religion.

Amounts and Terms:

- Ph.D. dissertation fellowships are granted in the set amount of \$15,000.
- There is no set minimum or maximum grant amount for grants other than fellowships. The Board will consider whether the amount requested is commensurate with the activities proposed and appropriate for the Foundation’s annual grant making target.
- *Reasonable* overhead costs may be included in the grant request, but must be specified.
- Unless otherwise specified and agreed upon, all grants have one-year terms. Under very limited circumstances, the Foundation will make a multiple-year commitment. It is incumbent upon the grant seeker to demonstrate the necessity or benefit of multiple-year funding in the grant proposal.
- There is no limit as to the number of proposals a single entity may submit at one time.

Process:

Grant seekers must submit a **one-page letter of inquiry** and be invited to submit a proposal. Please refer to grant proposal instructions. An invitation to submit a proposal does not guarantee a grant award.

Grant reviews will be conducted twice in 2012.

Spring 2012 Grant Review Calendar

Letters of Inquiry Due to NASDAQ OMX	February 1, 2012
Invitation to Submit a Grant Proposal	March 1, 2012
Grant Proposal Due	April 16, 2012
Board Meeting and Communication of Grant Agreement	May 2012

Fall 2012 Grant Review Calendar

Letters of Inquiry Due to NASDAQ OMX	August 1, 2012
Invitation to Submit a Grant Proposal	September 3, 2012
Grant Proposal Due	October 15, 2012
Board Meeting and Communication of Grant Agreement	November 2012